


12-10-01

#

11/12/01

|   |  |                                       |
|---|--|---------------------------------------|
|  JCS20 U.S. PTO | <b>UTILITY PATENT APPLICATION TRANSMITTAL</b><br><b>(Small Entity)</b><br><i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i> | Docket No.<br>18810-81607             |
|   |  | Total Pages in this Submission<br>102 |

**TO THE ASSISTANT COMMISSIONER FOR PATENTS**

Box Patent Application  
 Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**In Vitro Transfection, Storage and Transfer of Male Germ Cells for Generation of Transgenic Species**

and invented by:

**Carol W. Readhead and Robert Winston**

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

☒ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/191,920

Claims benefit of provisional : 60/065,825

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Enclosed are:

**Application Elements**

1. ☐ Filing fee as calculated and transmitted as described below
2. ☐ Specification having 47 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☒ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if drawings filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

11/12/01  
 10/008385  
 U.S. PTO

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
18810-81607

Total Pages in this Submission  
**102**

**Application Elements (Continued)**

3. ☐ Drawing(s) *(when necessary as prescribed by 35 USC 113)*  
a. ☐ Formal      b. ☐ Informal      Number of Sheets \_\_\_\_\_
4. ☒ Oath or Declaration  
a. ☐ Newly executed *(original or copy)*      ☐ Unexecuted  
b. ☒ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*  
c. ☐ With Power of Attorney      ☒ Without Power of Attorney  
d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under  
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission *(if applicable, all must be included)*  
a. ☐ Paper Copy  
b. ☐ Computer Readable Copy  
c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8. ☒ Assignment Papers *(cover sheet & documents)*
9. ☒ 37 CFR 3.73(b) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☐ Information Disclosure Statement/PTO-1449      ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing  
☐ First Class      ☒ Express Mail *(Specify Label No.):* **EL 900688448 US**

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
18810-81607

Total Pages in this Submission

102

**Accompanying Application Parts (Continued)**

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. ☒ Small Entity Statement(s) - Specify Number of Statements Submitted: 2
17. ☒ Additional Enclosures *(please identify below)*:

Copies of Power of Attorney by Assignee, Notice of Change of Address Preliminary Amendment and Petition Under § 1.48(b)(1) for Correction of Inventorship; and Revocation of Prior Powers and New Power of Attorney

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

18. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

*An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.*

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
18810-81607

Total Pages in this Submission

102

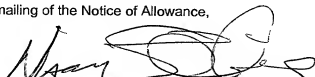
**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

| For  | #Filed | #Allowed | #Extra | Rate      | Fee      |
|--|--------|----------|--------|-----------|----------|
| Total Claims   | 21     | - 20 =   | 0      | x \$9.00  | \$9.00   |
| Indep. Claims  | 1      | - 3 =    | 0      | x \$42.00 | \$0.00   |
| Multiple Dependent Claims (check if applicable) <input type="checkbox"/> |        |          |        |           | \$0.00   |
| BASIC FEE  |        |          |        |           | \$379.00 |
| OTHER FEE (specify purpose)  |        |          |        |           | \$0.00   |
| TOTAL FILING FEE   |        |          |        |           | \$370.00 |

- ☐ A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-1597 as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of \$ 379.00 as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: November 12, 2001

  
\_\_\_\_\_  
Signature  
Nisan A. Steinberg, Ph.D.  
Registration No. 40,345  
SIDLEY AUSTIN BROWN & WOOD  
555 West Fifth Street  
Los Angeles, CA 90013-1010  
Ofc: 213/896-6665  
Fax: 213/896-6660

cc:

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1....**

Applicant(s): Carol W. Readhead, Robert Winston, and Outi Hovatta

Docket No.

P07 41794

Serial No.  
NOT ASSIGNEDFiling Date  
NOVEMBER 13, 1998Examiner  
NOT ASSIGNEDGroup Art Unit  
--

Invention:

Transfection, Storage and Transfer of Male Germ Cells for Generation of Transgenic Species &amp; Genetic Therapies

I hereby certify that this Power of Attorney By Assignee Under Rule 32  
(Identify type of correspondence)is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on  
November 13, 1998  
(Date)ANN WEISS

(Typed or Printed Name of Person Mailing Correspondence)

  
(Signature of Person Mailing Correspondence)EL 149 134 734 US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

1008385-111201

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Docket No.

P07 41794

Applicant(s): Carol W. Readhead, robert winston, and Outi Hovatta

Serial No.  
NOT ASSIGNEDFiling Date  
NOVEMBER 13, 1998Examiner  
NOT ASSIGNEDGroup Art Unit  
--

Invention:

Transfection, Storage and Transfer of Male Germ Cells for Generation of Transgenic Specieis &amp; Genetic Therapies

I hereby certify that this Statement Claiming Small Entity Status

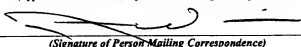
(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on  
November 13, 1998

(Date)

ANN WEISS

(Typed or Printed Name of Person Mailing Correspondence)

  
(Signature of Person Mailing Correspondence)

EL 149 134 734 US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

11063585-111204